

FORM PTO-1449(Modified) LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT	ATTY. DOCKET NO.: J1-02	SERIAL NO.: 10/015,003
	APPLICANT: W. Richard Jones	
	FILING DATE: December 11, 2001	GROUP:

U.S. PATENT DOCUMENTS

Exam Init	Ref Des	Document No.	Date	Name	Class	Sub Class	FILING DATE If Appropriate
/JR/		5,132,899	07/21/92	Fox	364	408	
		5,742,775	04/21/98	King	395	238	
		5,761,441	06/02/98	Bennett	395	235	
		5,799,287	08/25/98	Dembo	705	36	
		5,806,049	09/08/98	Petruzzi	705	36	
		5,812,987	09/22/98	Luskin et al	705	36	
		5,911,135	06/08/99	Atkins	705	36	
		5,933,815	08/03/99	Golden	705	35	
		5,978,778	11/02/99	O'Shaughnessy	705	36	
		5,999,917	12/07/99	Facciani et al	705	36	
		6,029,148	02/22/00	Zurstrassen	705	36	
		6,035,286	03/07/00	Fried	705	36	
		6,041,313	03/21/00	Gilbert, et al	705	36	
		6,061,662	05/09/00	Makivic	705	36	
		6,061,663	05/09/00	Bloom et al	705	36	
		6,078,904	06/20/00	Rebane	705	36	
		6,144,947	11/07/00	Schwartz	705	37	
		6,188,992	02/13/01	French	705	35	
		6,192,347	02/20/01	Graff	705	36	
		6,219,650	04/17/01	Friend, et al	705	36	
		5,819,238	10/06/98	Fernholz	705	36	
		5,911,135	06/08/99	Atkins	705	36	
/JR/		5,193,056	03/09/93	Boes	364	408	

FOREIGN PATENT DOCUMENTS

	Country & Doc. No. (11)	Pub. Date (43)	Class	Sub Class	Translation Yes No
EXAMINER	/James Rioux/		DATE CONSIDERED	05/08/2007	

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered.
 Include copy of this form with next communication to applicant

/JR/

FORM PTO-1449(Modified)	ATTY. DOCKET NO.: J1-02	SERIAL NO.: 10/015,003
	APPLICANT: W. Richard Jones	
	FILING DATE: December 11, 2001	GROUP:

LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT

OTHER ART

(Including Author, Title, Date, Pertinent Pages, Publication, Etc.)

/JR/		The Vanguard Group, Vanguard Gold and Precious Metals Fund Prospectus dated May 31, 2000
		Barclays Global Investors, iShares MSCI Series Prospectus dated January 2, 2001
		Barclays Global Investor, iShares Russell Series; iShares S&P Series; iShares Dow Jones Series Prospectus dated May 12, 2000 (as revised October 26, 2000)
		Scudder Investments, Select Funds, Class AARP and Class S Shares Prospectus dated July 1, 2000
		The Vanguard Group, Vanguard U.S. Stock Index Funds Prospectus dated November 1, 2000
		Roger J. Bos, Standard & Poor's; Event Study: Quantifying the Effect of Being Added to an S&P Index dated September, 2000
		Roger J. Bos, Standard & Poor's; An Overview of Standard & Poor's Earnings and Dividend Quality Rank Model dated July, 2000
		Roger J. Bos, Standard & Poor's; An Overview of the Standard & Poor's 100 Index dated December, 2000
		Roger J. Bos, CFA, Michele Ruotolo, Standard & Poor's; General Criteria for S&P U.S. Index Membership dated September, 2000
		Scudder Investments, Scudder S&P 500 Index Fund, Prospectus dated April 12, 2000
		Standard & Poors Index Services, S&P Global 1200 Index Changes 2001, S&P Global 1200 Index Changes 2000; http://www.spglobal.com/ssindexmain1200indchange.html
		Diamonds Trust, Series 1 Prospectus, Part A and Part B, The Dow Industrials, copyright 2001 by PDR Services LLC
		Nike Securities L.P. First Trust® (Prospectus) January 23, 2002 (similar for years 2000, 2001) (50 pages)
		Nike Securities L.P. First Trust® Communications Portfolio Series 10; http://www.nikesec.com/indiv/ftp/portfoliooverview.asp?fundid=2666&Trust=ccgr10 (4 pages)
		Nike Securities L.P. First Trust® Biotechnology Portfolio Series 7; http://www.nikesec.com/indiv/ftp/portfoliooverview.asp?fundid=2669&Trust=btgr7 (5 pages)
		Nike Securities L.P. First Trust® Capital Goods Portfolio Series 1; http://www.nikesec.com/indiv/ftp/portfoliooverview.asp?fundid=2670&Trust=cggr1 (3 pages)
		Nike Securities L.P. First Trust® Biotechnology Portfolio Features & Benefits; www.nikesec.com (2 pages)
		Standard & Poor's Depositary Receipts®, SPDR Trust, Series 1, Prospectus Part A Dated January 24, 2001 (70 pages)
		streetTRACKS Series Trust, Prospectus 79 pages; October 26, 2001 (similar for 2000)
		Broadband HOLDERS, Contract Specifications, Description of Product; http://www.amex.com/structuredeq/holdrs_bdh.stm (3 pages)
/JR/		Standard & Poors Index Services, S&P Global Indices; http://www.spglobal.com/ssindexmain.html
EXAMINER	/James Rioux/	DATE CONSIDERED 05/08/2007

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant

James
Rioux

Digitally signed by James Rioux
DN: cn=James Rioux, c=US,
o=US PTO, ou=3694,
email=james.rioux@uspto.gov
Location: Alexandria, VA 22314
Date: 2007.05.08 14:51:38 -04'00'

U.S. PATENT DOCUMENTS

FOREIGN PATENT DOCUMENTS

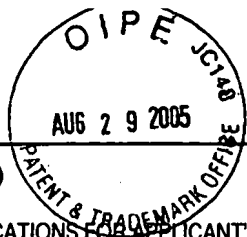
OTHER ART

(Including Author, Title, Date, Pertinent Pages, Publication, Etc.)

James Rioux

Digitally signed by James Rioux
DN: cn=James Rioux, c=US, o=US PTO,
ou=3694, email=james.rioux@uspto.gov
Location: Alexandria, VA 22314
Date: 2007.05.08 14:54:37 -04'00'

/JR/



FORM PTO-1449 (Modified) LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT	ATTY. DOCKET NO.: J1-02US	SERIAL NO.: 10/015,003
	APPLICANT: W. Richard Jones	
	FILING DATE: Dec. 11, 2001	GROUP: 3624

U.S. PATENT DOCUMENTS

Exam Init	Ref Des	Document No.	Date	Name	Class	Sub Class	FILING DATE If Appropriate
/JR/		20010042037	11/2001	Kam et al.			
		20020059123	05/2002	Dunning et al.			
		20020059126	05/2002	Ricciardi			
		20020059127	05/2002	Brown et al.			
		20020062272	05/2002	Kim et al.			
		20020062271	05/2002	Breuninger			
		20020069149	06/2002	Maxwell et al.			
		20020099636	07/2002	Narumo			
		20030004846	01/2003	Schneider			
		20030018556	01/2003	Squyres			
		20030023532	01/2003	Bolt			
/JR/		20030009405	01/2003	Kiron et al.			

FOREIGN PATENT DOCUMENTS

		Country & Doc. No. (11)	Pub. Date (43)		Class	Sub Class	Translation Yes No

OTHER ART

(Including Author, Title, Date, Pertinent Pages, Publication, Etc.)

/JR/			Jones, Robert. "Earnings basis for weighting stock portfolios." Pensions and Investments. August 6, 1990.
/JR/			iShares Trust Supplement dated August 17, 2005 to the Prospectus dated August 1, 2005 for the iShares Russell and S&P Index Funds pages 1-109

EXAMINER /James Rioux/	DATE CONSIDERED 05/08/2007
-------------------------------	-----------------------------------

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

James Rioux

Digitally signed by James Rioux
DN: cn=James Rioux, o=US, ou=PTO, ou=3604, email=james.rioux@uspto.gov
Location: Alexandria, VA 22314

/JR